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**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE
BEFORE THE BOARD OF PATENT APPEALS AND INTERFERENCES**

In re application of

Leon Benhamou

Serial No. 10/695,952

Group Art Unit 2155

Filed: October 30, 2003

Examiner Vitali A. Korobov

For: Method and Apparatus for Securing Network
Management Communications**SECOND SUBSTITUTE
BRIEF ON APPEAL**Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

This is a second substitute appeal brief in furtherance of an appeal from the final rejection mailed December 2, 2005 finally rejecting claims 1 - 18 of the above-identified application.

A Substitute Appeal Brief was previously submitted on November 13, 2006, but a Notice of Non-Compliance was mailed on June 9, 2008, on the grounds that the brief does not contain a concise explanation of each of the independent claims, with reference to the specification by page and line number and to the drawings by reference character. In reply, the references to page, line number, and reference character, included in the previous substitute brief have been highlighted in Bold Type (the brief was replete such references), and copies of claims 9, 13, and 15 with further references to line and page number have been added.

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(i). The Real Party in Interest

The real party in interest is Alcatel.

(ii). Related Appeals and Interferences

There are no related appeals or interferences.

(iii). Status of the Claims

Claims 1 - 18, the only claims pending in the application, stand finally rejected.

(iv). Status of the Amendments

There were no amendments filed subsequent to the final rejection.

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(v). Summary of Claimed Subject Matter

Figure 1 of the drawings is reproduced for convenience of reference as follows:

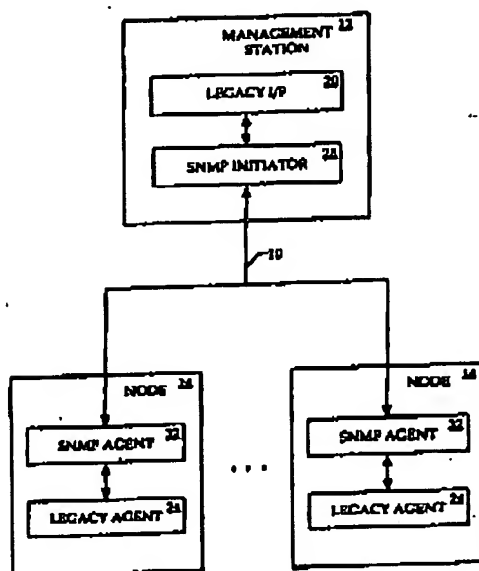


FIG. 1

As to claims 1, 9, 13 and 15, which constitute each of the independent claims in the application, the network 10 includes, as described in lines 24-26 on page 4 of the specification, a management station 12 and a plurality of nodes 14, the management station 12 being responsible for administering the nodes 14. The management station 12 exchanges network management messages with each node 14 by transmitting and receiving network management

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messages over the network 10. Collectively, the management station 12 and the nodes 14 are referred to as network elements. The management station 12 includes a legacy management interface 20, and each node includes a legacy agent 24. The legacy management interface generates legacy network management messages, to which each legacy agent 24 has the ability to respond. Each legacy agent 24 may respond to particular legacy network management messages by generating another legacy network management message, which the legacy management interface has the ability to process. Each legacy agent 24 may also generate unsolicited legacy network management messages in order to, for example, report state changes or status changes. (Specification, page 5, first full paragraph, lines 6-18.)

the management station 12 and the nodes 14 exchange legacy network management messages using a secure version of Simple Network Management Protocol (SNMP), such as SNMPv3. The legacy network management messages are embedded within SNMP messages as user-defined SNMP objects. The management station 12 includes an SNMP initiator 28. The SNMP initiator 28 receives a legacy network management message generated by the legacy interface 20, and embeds the legacy network management message within an SNMP message. The SNMP initiator 28 then transmits the SNMP message to one or more of the nodes 14. (Specification, page 5, lines 19-27, second full paragraph.)

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Each node 14 includes an SNMP agent 32 which receives an SNMP message from the SNMP initiator 28. The SNMP message includes as a user-defined object a legacy network management message generated by the legacy management interface 20 and embedded within the SNMP message by the SNMP initiator 28. The SNMP agent 32 extracts the legacy network management message from the SNMP message and passes it to the legacy agent 24 within the node 14. The legacy agent 24 processes the legacy network management message in accordance with the legacy management protocol. If the legacy agent 24 prepares a second legacy network management message in response to the legacy network management message generated by the legacy interface 20, the legacy agent 24 passes the second legacy network management message to the SNMP agent 32. The SNMP agent 32 embeds the second legacy network management message as a user-defined object within an SNMP message, and sends the SNMP message to the SNMP initiator 28. Likewise, if the legacy agent 24 generates an unsolicited legacy network management message, the legacy agent 24 passes the legacy network management message to the SNMP agent 32. The SNMP agent 32 embeds the legacy network management message as a user-defined object within an SNMP message, and sends the SNMP message to the SNMP initiator 28. (Specification, paragraph bridging pages 5 and 6; page 5, last two lines; page 6, lines 1-17.)

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The method and apparatus of the present invention allow legacy network management messages to be transmitted with improved security, without requiring replacement of an entire legacy system. Using simple SNMP initiators and simple SNMP agents, legacy network management messages are embedded within SNMP messages and exchanged between network elements using a secure version of SNMP. Legacy software, in the form of agents and interfaces, is then able to process the legacy management messages (page 4, line 7 et seq).

In compliance with 37 C.F.R. 41.37(V), the steps in claims 1 - 6 have been annotated to make specific reference to the specification where they find support. There are no "means" clauses in claims 7 - 18, but copies of independent claims 9, 13, and 15 have been annotated to include references to page, line number, and reference character.

1. A method of providing secure network management communications within a communication network, the communication network including a plurality of network elements each adapted to generate and process legacy network management messages in conformance with a legacy management system, the method comprising the steps of:

embedding a first legacy network management message within a first Simple Network Management Protocol (SNMP) message at a first network element; (page 3, second full paragraph; page 5, second full paragraph; abstract.)

transmitting the first SNMP message over the network to a second network element; and (page 3, second full paragraph, abstract.)

extracting the first legacy network management message from the first SNMP message at the second network element. (paragraph bridging pages 5 and 6; page 6, first full paragraph.)

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2. The method of claim 1 wherein the step of transmitting the first SNMP message comprises transmitting the first SNMP message in conformance with a secure version of SNMP. (page 6, last full paragraph.)

3. The method of claim 2 wherein the step of transmitting the first SNMP message comprises transmitting the first SNMP message in conformance with SNMP version 3 (SNMPv3). (page 5, second full paragraph, abstract.)

4. The method of claim 1 wherein the legacy management system provides less security than SNMP. (page 7, second full paragraph, second sentence.)

5. The method of claim 1 comprising the further steps of:

generating the first legacy network management message at the first network element; and (page 5, first full paragraph, last two sentences.)

processing the first legacy network management message at the second network element. (page 6, second sentence from top of page.)

6. The method of claim 5 comprising the further steps of:

generating a second legacy network management message at the second network element in response to the first legacy network management message; (page 6, third sentence from top of page.)

embedding the second legacy network management message within a second SNMP message at the second network element; (page 6, fourth sentence from top of page.)

transmitting the second SNMP message over the network to the first network element; and (page 6, fourth sentence from top of page.)

extracting the second legacy network management message from the second SNMP message at the first network element. (page 6, first full paragraph.)

9. A network management system within a communication network, the communication network including a management station and a node, comprising:

a legacy interface at the management station for generating a first legacy network management message in conformance with a legacy network management

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protocol (page 3, second full paragraph; page 5, second full paragraph);

a Simple Network Management Protocol (SNMP) initiator (28) at the management station for embedding the first legacy network management message within a first SNMP message and for transmitting the first SNMP message to the node (page 3, second full paragraph);

an SNMP agent (32) at the node for receiving the first SNMP message and for extracting the first legacy network management message from the first SNMP message (paragraph bridging pages 5 and 6); and

a legacy agent (24) at the node for processing the legacy network management message in conformance with the legacy network management protocol.

13. A Simple Network Management Protocol (SNMP) initiator at a management station within a communication network, comprising:

instructions for receiving a legacy network management message which conforms to a legacy network management protocol;

instructions for embedding the legacy network management message within an SNMP message; and

instructions for transmitting the SNMP message to a node within the communication network (page 5, line 19 to page 5, line 27).

15. A Simple Network Management Protocol (SNMP) agent at a node within a communication network, comprising:

instructions for receiving a first SNMP message from a management station within a communication network;

instructions for extracting a first legacy network management message from the first SNMP message, the first legacy network management message conforming to a legacy network management protocol; and

instructions for sending the first legacy network management message to a legacy agent at the node (paragraph bridging pages 5 and 6-page 5, lines 28 et seq.).

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(vi). Grounds of Rejection to be Reviewed on Appeal

Ground No. 1

The rejection of claims 1, 2, 4-10 and 12-12 under 35 U.S.C.
102(e) as being anticipated by Andrews (US 6,697,845)
(hereinafter Andrews).

Ground No. 2

The rejection of claims 3 and 11 under 35 U.S.C. 103(a) as being
unpatentable over Andrews.

(vii). Argument

As to Ground No. 1